



BEST AVAILABLE COPY

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

2121
#6
SP

01-23.04

In re application of: William J. Armstrong et al. : Date: January 13, 2004
Group Art Unit: 2121 : IBM Corporation
Examiner: Unassigned : Intellectual Property Law
Serial No.: 09/939,235 : Dept. 917, Bldg. 006-1
Filed: August 24, 2001 : 3605 Highway 52 North
Title: YIELD ON MULTITHREADED : Rochester, MN 55901-7829
PROCESSORS

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97,

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

RECEIVED

JAN 21 2004

Technology Center 2100

Sir:

Applicants request that the information listed on the attached Form PTO/SB/08A be considered by the Office during the pendency of the above entitled application, pursuant to 37 C.F.R. §1.97. In accordance with 37 C.F.R. §1.97(h), the filing of this Information Disclosure Statement shall not constitute an admission that any information cited therein is, or is considered to be, material to patentability as defined in 37 C.F.R. §1.56(b). In the interest of full and complete disclosure to the Office, some or all of the art cited herein may not be considered by Applicant(s) or the Undersigned to be material under the new standard of materiality defined in 37 C.F.R. §1.56(b), enacted March 16, 1992, but may be material under the old standard of materiality defined in 37 C.F.R. §1.56(a), last amended on November 28, 1988, or may merely be technical background which may be of interest to the Examiner. In accordance with 37 C.F.R. §1.97(g), the filing of this Information Disclosure Statement shall not be construed to mean that a search has been made.

Serial No. 09/939,235
Docket No. ROC920010252US1

- 1 -

RECEIVED

JAN 22 2004

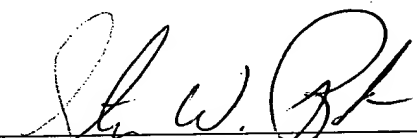
TC 2100

To the best knowledge of the undersigned, this Information Disclosure Statement is being filed under 37 C.F.R. §1.97(b)(3) before the mailing of a first Office action on the merits in the present application. Accordingly no filing fee is required.

Date: January 13, 2004

Respectfully submitted,

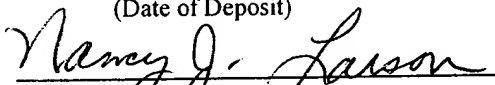
WILLIAM J. ARMSTRONG ET AL.

By 
Steven W. Roth, Attorney
Registration No. 34,712

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450, on

January 13, 2004

(Date of Deposit)


Nancy J. Larson

Telephone: (507) 253-1600
Fax: (507) 253-2382

BEST AVAILABLE COPY

Serial No. 09/939,235

Docket No. ROC920010252US1

- 2 -

PTO/SB/08A

INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Sheet 1 of 2

Application Number.: 09/939,235

Filing Date: August 24, 2001

First Named Inventor: Armstrong et al

Art Unit: 2121

Examiner Name: Unassigned

Attorney Docket Number.: ROC920010252US1

U.S. PATENT DOCUMENTS

Examiner Initials*	Cite No. ¹	Document Number Number - Kind Code ² (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear
	A	US - 5535321A	07/09/1996	Timothy J. Massaro et al	
	B	US - 6625638B1	09/23/2003	Jeffrey Paul Kubala et al	

RECEIVED

JAN 21 2004

Technology Center 2100

FOREIGN PATENT DOCUMENTS

Examiner Initials	Cite No. ¹	Foreign Patent Document Country ³ - Number ⁴ - Kind Code ⁵ Code (if known)	Publication Date MM-DD-YYYY	Name of Patentee or Applicant of Cited Document	Pages, Columns or Lines Where Relevant Passages or Figs. Appear	T ⁶

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

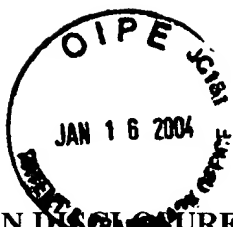
EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional). ² See Kind Codes of USPTO Patent Documents at www.uspto.gov or MPEP 901.04. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3).

⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document, by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶ Applicant is to place a check mark here if English language translation is attached.

BEST AVAILABLE COPY

PTO/SB/08A


**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**
Sheet 2 of 2

Application Number.: 09/939,235
 Filing Date: August 24, 2001
 First Named Inventor: Armstrong et al
 Art Unit: 2121
 Examiner Name: Unassigned
 Attorney Docket Number.: ROC920010252US1

OTHER PRIOR ART - NON PATENT LITERATURE DOCUMENTS

Examiner Initials	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and or country where published.	T ²
	C	Menasce, D. et al. "Capacity Planning and Performance Modeling", ISBN 0-13-035494-5, © 1994.	
	D	Leutenegger et al. "A Modeling Study of the TPC-C Benchmark", Proceedings of the 1993 ACM SIGMOD Int'l Conference on Management of Data, 1993, pp. 22-31.	
	E	Levine, C. "Order-of-Magnitude Advantage on TPC-C Through Massive Parallelism", Proceedings of the 1995 ACM SIGMOD Int'l Conference on Management of Data, 1995, pp. 464-465.	
	F	IBM Corporation, "AS/400 Logical Partitions Hardware Planning Guide", © 1999	
	G	Schimunek, G. et al. "Slicing the AS/400 With Logical Partitioning: A How to Guide", August 1999.	
	H	IBM Corporation, "LPAR Configuration and Management", First Edition, © April 2002.	
		RECEIVED	
		JAN 21 2004	
		Technology Center 2100	

Examiner Signature		Date Considered	
--------------------	--	-----------------	--

EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹ Applicant's unique citation designation number (optional).

² Applicant is to place a check mark here if English language translation is attached.

BEST AVAILABLE COPY